



Attorney Docket No.: 17066/00103

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re

U.S. Application of: John NAFEH and Kenton K. YEE

For: METHOD AND APPARATUS FOR FORMULATION,
INITIAL PUBLIC OR PRIVATE OFFERING,
AND SECONDARY MARKET TRADING OF RISK
MANAGEMENT CONTRACTS

U.S. Serial No. 09/923,035

Filed: August 6, 2001

Group Art Unit: 2164

Examiner: To Be Assigned

Assistant Director
for Patents
Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Director for Patents, Washington, DC 20231, on

NOVEMBER 16, 2001

Date of Deposit

THOMAS N. TARNAY

Name of Applicant, Assignee, or Registered Representative

Signature

NOVEMBER 16, 2001

Date of Signature

INFORMATION DISCLOSURE STATEMENT

In compliance with the duty of disclosure set forth in 37 C.F.R. § 1.56, Applicants wish to bring the following items to the attention of the Examiner. Copies of the documents are enclosed for the convenience of the Examiner.

No representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of this material in any way reflects its relative pertinence. The references cited below are not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that the items listed below are properly citable against the above-identified application.

Serial No. 09/923,035

The following documents are cited in the specification of the above-identified patent application:

- (1) Youden et al., U.S. Patent No. 4,232,367, issued November 4, 1980;
- (2) Macco, U.S. Patent No. 4,633,397, issued December 30, 1986;
- (3) Leon et al., U.S. Patent No. 4,742,457, issued May 3, 1988;
- (4) Roberts et al., U.S. Patent No. 4,752,877, issued June 21, 1988;
- (5) Fox, U.S. Patent No. 4,766,539, issued August 23, 1988;
- (6) Roberts et al., U.S. Patent No. 4,839,804, issued June 13, 1989;
- (7) Lloyd, U.S. Patent No. 4,876,648, issued October 24, 1989;
- (8) Gross et al., U.S. Patent No. 5,083,270, issued January 21, 1992;
- (9) Lupien et al., U.S. Patent No. 5,101,353, issued March 31, 1992;
- (10) Silverman et al., U.S. Patent No. 5,136,501, issued August 4, 1992; and
- (11) Vitagliano et al., U.S. Patent No. 5,206,803, issued April 27, 1993.

Serial No. 09/923,035

Applicants also wish to bring the following documents to the attention of the Examiner:

- (12) Shepherd, U.S. Patent No. 5,970,479, issued October 19, 1999;
- (13) Shepherd, U.S. Patent No. 6,134,536, issued October 17, 2000; and
- (14) The Iowa Electronics Markets, as described in its web site having a top-level URL of: www.biz.uiowa.edu/iem. A representative sample of the materials provided at the Iowa Electronics web site, printed on November 8, 2001 and comprising 243 pages, is provided herewith. The pages provided from the Iowa Electronics web site are not exhaustive, but rather are exemplary of the materials provided at that web site.

Because this Information Disclosure Statement is being filed within three months of the filing date or before the mailing date of a first Office Action on the merits, whichever occurs last, no fee is required. However, if it should be determined that a fee is required, please charge any required fee (other than the issue fee) during the pendency of this application to Sidley Austin Brown & Wood's Deposit Account No. 18-1260.

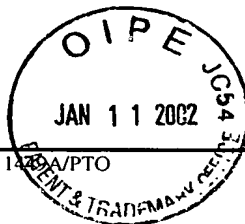
Serial No. 09/923,035

Respectfully submitted,



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November 16, 2001



Substitute for form 147A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Complete if Known	
				Application Number	09/923,035
				Filing Date	August 6, 2001
				First Inventor	John NAFEH et al.
				Group Art Unit	2164
				Examiner Name	To Be Assigned
Sheet	1	of	1	Attorney Docket No.	17066/00103

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U.S. PATENT DOCUMENTS

Examiner Initials	Cite #	DOCUMENT NUMBER	C O D E	PATENTEE	ISSUE DATE (mm/dd/yy)	CLASS	SUB CLASS	Filing Date if Appropriate
	(1)	4,232,367		Youden et al.	11/04/80	364	408	
	(2)	4,633,397		Macco	12/30/86	364	406	
	(3)	4,742,457		Leon et al.	05/03/88	364	408	
	(4)	4,752,877		Roberts et al.	06/21/88	364	408	
	(5)	4,766,539		Fox	08/23/88	364	401	
	(6)	4,839,804		Roberts et al.	06/13/89	364	408	
	(7)	4,876,648		Lloyd	10/24/89	364	408	
	(8)	5,083,270		Gross et al.	01/21/92	364	408	
	(9)	5,101,353		Lupien et al.	03/31/92	364	408	
	(10)	5,136,501		Silverman et al.	08/04/92	364	408	
	(11)	5,206,803		Vitagliano et al.	04/27/93	364	408	
	(12)	5,970,479		Shepherd	10/19/99	705	37	
	(13)	6,134,536		Shepherd	10/17/00	705	37	

FOREIGN PATENT DOCUMENTS

Examiner Initials		O F F I C E	NUMBER	C O D E	PUBLICATION DATE (mm/dd/yy)	TRANSLATION Yes No

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
	(14)	The Iowa Electronics Markets, web site: www.biz.uiowa.edu/iem, printed on November 8, 2001, and comprising 243 pages
Examiner Signature		Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to applicant.